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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Victor F. Petrenko  
Application No.: 09/976,210  
Filed: October 11, 2001

Attorney Docket No. 393551  
Group No.: 3742  
Examiner: Unknown

For: HIGH-FREQUENCY MELTING OF INTERFACIAL ICE

Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
AUG 5 2002  
OFFICE OF PETITIONS

DEFICIENCY PAYMENT TO CORRECT ERROR IN SMALL ENTITY STATUS

Pursuant to 37 CFR 1.28(c)(1) and (2) an itemization and payment of deficiency owed are hereby submitted. The undersigned attorney requests under § 1.28(d) that the deficiency payment be treated as a notification under § 1.27(g)(2) of the loss of entitlement to small entity status.

Fee Description	Date	Fee Paid	Corrected Fee Amount	Deficiency Due
Basic Filing Fee	10/1/01	\$370.00	\$740.00	\$370.00
Extra Claims Fees				
Total Claims		\$ 9.00	\$ 18.00	\$ 9.00
Independent Claims		\$ 0.00	\$ 0.00	\$ 0.00
<b>Total Deficiency Payment Owed:</b>				<b>\$379.00</b>

A deficiency payment in the amount of \$379.00 is enclosed. If any additional amount is due, please charge Deposit Account No. 12-0600.

Respectfully submitted,

By: Curtis A. Vock  
Curtis A. Vock, Reg. No. 38,356  
Lathrop & Gage, L.C.  
4845 Pearl East Circle, #300  
Boulder, CO 80301  
Telephone: (720)931-3000  
Facsimile: (720) 931-3001

Adjustment date: 08/05/2002 SLUANG1  
07/08/2001 EAREGAY1 00000057 09976210  
01 FC:201 -370.00 OP  
02 FC:203 -9.00 OP

08/05/2002 SLUANG1 00000004 09976210  
01 FC:201 740.00 OP  
02 FC:203 18.00 OP

CERTIFICATE UNDER 37 C.F.R. 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being deposited with the United States Postal Service in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 with sufficient postage:

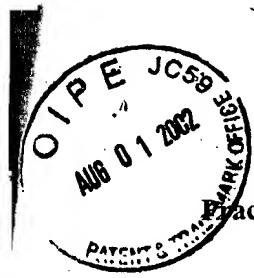
MAILING

37 CFR 1.8(a) a  
as First Class Mail

*July 32 2002*  
Date

37 CFR 1.10  
as Express Mail Post Office to Addressee  
EXPRESS MAIL NO. *Carol J. Dunkel*

Carol J. Dunkel



GP/3742 \$

Practitioner's Docket No. 393551

PATENT

IN THE UNITED STATES PATENT OFFICE

In re application of: Victor F. Petrenko      Attorney Docket No. 393551  
Application No.: 09/976,210      Group No.: 3742  
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CERTIFICATE OF MAILING

Commissioner for Patents  
Washington, D.C. 20231

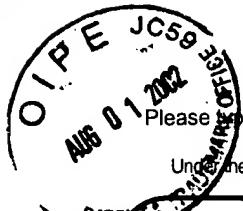
Date of Deposit: July 22, 2002

I hereby state that the following *attached* papers:

1. Transmittal Form [1 page]
2. Fee Transmittal for FY 2002 [original + 1 copy]
3. Deficiency Payment to Correct Error in Small Entity Status [1 page]
4. Check in the amount of \$379.00 for total deficiency owed
5. Certificate of Mailing, [1 page]
6. Return Postcard [1].

are being deposited with the United States Postal Service as First Class Mail service under 37 CFR 1.8 in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

  
Carol J. Dunkel



Please type a plus sign (+) inside this box →

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/976.210
		Filing Date	October 11, 2001
		First Named Inventor	Victor F. Petrenko
		Group Art Unit	3742
		Examiner Name	Unknown
Total Number of Pages in This Submission	5	Attorney Docket Number	393551

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1. Deficiency Payment to Correct Error in Small Entity Status. Rule 1.28
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2. Certificate of Mailing
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	3. Return Postcard
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Curtis A. Vock Lathrop & Gage, L.C.
Signature	
Date	July 22, 2002

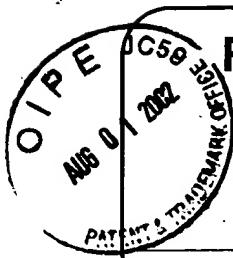
### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name	Carol J. Dunkel	Date	July 22, 2002
Signature			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ 379)

Complete If Known	
Application Number	09/976,210
Filing Date	October 11, 2001
First Named Inventor	Victor F. Petrenko
Examiner Name	Unknown
Group / Art Unit	3742
Attorney Docket No.	393551

METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)																																																																																																																																																																																													
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  Deposit Account Number <input type="text" value="12-0600"/>				<b>3. ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>SurchARGE - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>SurchARGE - late provisional filing fee or cover sheet.</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,280</td><td>241</td><td>640</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,280</td><td>242</td><td>640</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>460</td><td>243</td><td>230</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>620</td><td>244</td><td>310</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Processing fee under 37 CFR 1.17 (q)</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>740</td><td>246</td><td>370</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>740</td><td>249</td><td>370</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>179</td><td>740</td><td>279</td><td>370</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr> <td colspan="6">Other fee (specify) <u>Payment of total deficiency owed</u> <input type="text" value="379"/></td> </tr> <tr> <td colspan="4">*Reduced by Basic Filing Fee Paid <input type="text" value="(\$ 379)"/></td> <td colspan="2">SUBTOTAL (3)</td> </tr> </tbody> </table>				Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid	105	130	205	65	SurchARGE - late filing fee or oath		127	50	227	25	SurchARGE - late provisional filing fee or cover sheet.		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	400	216	200	Extension for reply within second month		117	920	217	460	Extension for reply within third month		118	1,440	218	720	Extension for reply within fourth month		128	1,960	228	980	Extension for reply within fifth month		119	320	219	160	Notice of Appeal		120	320	220	160	Filing a brief in support of an appeal		121	280	221	140	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,280	241	640	Petition to revive - unintentional		142	1,280	242	640	Utility issue fee (or reissue)		143	460	243	230	Design issue fee		144	620	244	310	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Processing fee under 37 CFR 1.17 (q)		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))		149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))		179	740	279	370	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) <u>Payment of total deficiency owed</u> <input type="text" value="379"/>						*Reduced by Basic Filing Fee Paid <input type="text" value="(\$ 379)"/>				SUBTOTAL (3)	
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\*\*or number previously paid, if greater; For Reissues, see above

SUBMITTED BY						Complete (if applicable)	
Name (Print/Type)	Curtis A. Vock	Registration No. Attorney/Agent)	38,356	Telephone	(720) 931-3000		
Signature				Date	July 22, 2002		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

**Burden Hour Statement:** This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**Action List****Search by:****Accounting Date:**  (MMDDYY)**Operator ID:** **Accounting Date****Starts:** **Ends:** **Name/Number:**  09976210**Attny Docket No.:** **Deposit Account No.:** 

Accounting Date	Operator ID	Seq. No.	Txn Svc	Fee Code	St	Amount	Name/Number	Dep Acct
10/16/2001	EAREGAY1	112	SALE	203	A	9.00	09976210	
10/16/2001	EAREGAY1	111	SALE	201	A	370.00	09976210	

**OK****Adjustment Detail****Authorization Detail**